

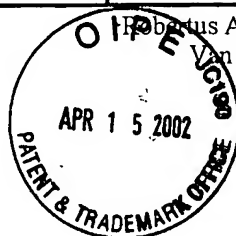


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|--|------------------------|
| 10/014,238 | 12/11/2001 | Robertus Antonius Johannes Van Kollenburg | NL000727 |

Philips Electronics North America Corp.
580 White Plains Road
Tarrytown, NY 10591



CONFIRMATION NO. 3098

FORMALITIES LETTER



OC000000007409602

Date Mailed: 02/01/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Phuong Bui
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/17/2002 MNCHAMH1 00000073 141270 10014238

02 FC:105

130.00 CH

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
In re Application of

ROBERTUS A. J. VAN KOLLENBURG Atty. Docket NL 000727

Serial No. 10/014,238

Filed: DECEMBER 11, 2001

Title: RECORD CARRIER OF THE OPTICAL TYPE AND A DEVICE FOR RECORDING
AND/OR PLAYBACK FOR USE WITH SUCH A RECORD CARRIER

Commissioner for Patents, Washington, D.C. 20231

ATTENTION: APPLICATION DIVISION

RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF
APPLICATION mailed on February 1, 2002, enclosed is a Declaration,
properly signed by the Applicants and referring to the above case
by its Serial Number and filing date, in compliance with 37 CFR
1.63, and a copy of the Notice. Accordingly, the above-identified
patent application is now complete.

Please charge Deposit Account No. 14-1270 in the amount
of \$130.00 for the surcharge for filing the Declaration on a date
later than the filing date of the application, as set forth in
37 CFR 1.16(e).

Respectfully submitted,

By _____
Michael E. Belk, Reg. 33,357
Attorney
(914) 333-9643

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited this date
with the United States Postal Service as first-class mail in an envelope addressed to:
COMMISSIONER FOR PATENTS
Washington, D.C. 20231

On _____

By _____

0.19.02 04C0 1-E 2651 #5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Atty. Docket

ROBERTUS A. J. VAN KOLLENBURG

NL 000727

Serial No. 10/014,238

Group Art Unit: 2651

Filed: DECEMBER 11, 2001

Title: RECORD CARRIER OF OPTICAL TYPE AND A DEVICE FOR RECORDING
AND/OR PLAYBACK FOR USE WITH SUCH A RECORD CARRIER

Commissioner for Patents, Washington, D.C. 20231

RECEIVED

APR 17 2002

Technology Center 2600

LETTER

Sir:

Pursuant to the duty of disclosure set forth in 37 CFR 1.56, Applicants call to the attention of the Patent and Trademark Office a Search Report issued abroad in reference to a corresponding foreign application. A copy of the Search Report dated MARCH 22, 2002 is attached.

The enclosed document is being called to the attention of the Patent and Trademark Office solely to comply with the duty of disclosure set forth in 37 CFR 1.56 and is not intended to be construed as an admission by the Applicants that any of the documents listed is material.

Respectfully submitted,

By Michael E. Belk
Michael E. Belk, Reg. 33,357
Attorney
(914) 333-9643

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited this date
with the United States Postal Service as first-class mail in an envelope addressed to:
COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

On April 3, 2002

By Naemi Chapa

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL SEARCH REPORT
OR THE DECLARATION

(PCT Rule 44.1)

To:

INTERNATIONAAL OCTROOIBUREAU B.V.
Attn. De Vries, Jan
Prof. Holstlaan 6
NL-5656 AA Eindhoven
NETHERLANDS

MRT 2002

UKFE

Date of mailing
(day/month/year)

22/03/2002

Applicant's or agent's file reference

PHNL000727W0

FOR FURTHER ACTION

See paragraphs 1 and 4 below

International application No.

PCT/IB 01/ 02390

International filing date
(day/month/year)

06/12/2001

RECEIVED

Applicant

KONINKLIJKE PHILIPS ELECTRONICS N.V.

APR 17 2002

Technology Center 2600

1. ☒ The applicant is hereby notified that the International Search Report has been established and is transmitted herewith.

Filing of amendments and statement under Article 19:

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

When? The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

Where? Directly to the International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland
Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no International Search Report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3. ☐ With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:
the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Further action(s):** The applicant is reminded of the following:

Shortly after **18 months** from the priority date, the international application will be published by the International Bureau.
If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

Within **19 months** from the priority date, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later).

Within **20 months** from the priority date, the applicant must perform the prescribed acts for entry into the national phase before all designated Offices which have not been elected in the demand or in a later election within 19 months from the priority date or could not be elected because they are not bound by Chapter II.

Name and mailing address of the International Searching Authority



European Patent Office, P.B. 5818 Patentlaan 2
NL-2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Clifford Lekahena

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

| | | |
|--|---|--|
| Applicant's or agent's file reference PHNL000727W0 | FOR FURTHER ACTION see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below. | |
| International application No. PCT/IB 01/ 02390 | International filing date (day/month/year) 06/12/2001 | (Earliest) Priority Date (day/month/year) 11/12/2000 |
| Applicant KONINKLIJKE PHILIPS ELECTRONICS N.V. | | |

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 4 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

4. With regard to the **title**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,

☐ the text is approved as submitted by the applicant.

☒ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the **drawings** to be published with the abstract is Figure No.

9

☒ as suggested by the applicant.

☐ None of the figures.

☐ because the applicant failed to suggest a figure.

☐ because this figure better characterizes the invention.

Box III TEXT OF THE ABSTRACT (Continuation of item 5 of the first sheet)

The abstract is modified as follows:

line 10: after "shift" insert "(n)";
line 11: after "area" insert "(SLI)".

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 G11B7/007 G11B20/12

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 G11B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
|------------|---|-----------------------|
| A | EP 0 397 238 A (PHILIPS NV) 14 November 1990 (1990-11-14) cited in the application the whole document ----- | 1,6 |



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

* Special categories of cited documents :

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

- *T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- *X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- *Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- *&* document member of the same patent family

Date of the actual completion of the international search

15 March 2002

Date of mailing of the international search report

22/03/2002

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Annibal, P

| Patent document cited in search report | | Publication date | Patent family member(s) | Publication date |
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